

PTG/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031  
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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

6

Application Number

09/851,767

Filing Date

May 9, 2001

First Named Inventor

Ying EE Yip

Art Unit

2651

Examiner Name

Rodriguez, Glenda P.

Attorney Docket Number

STL9663

Technology Center 2600

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NOV 23 2004

**ENCLOSURES (Check all that apply)**☒

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☒

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐Reply to Missing Parts/  
Incomplete Application☐Reply to Missing Parts  
under 37 CFR 1.52 or 1.53☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐Petition to Convert to a  
Provisional Application☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s) \_\_\_\_\_

☐

Landscape Table on CD

Remarks

☐

After Allowance Communication to TC

☐Appeal Communication to Board  
of Appeals and Interferences☐Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐

Proprietary Information

☐

Status Letter

☒Other Enclosure(s) (please identify  
below):Form PTO/SB/08a; 8 Cited  
References; and Return Postcard**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

Seagate Technology LLC

Signature

Printed name

David K. Lucente

Date

11/16/04

Reg. No.

36,202

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

Zema Smith

Date

11/16/2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**FEE TRANSMITTAL**

NOV 18 2004

**for FY 2005**

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$180.00)

**Complete if Known**

Application Number	09/851,767
Filing Date	May 9, 2001
First Named Inventor	Ying EE Yip
Examiner Name	Rodriguez, Glenda P.
Art Unit	2651
Attorney Docket No.	STL9663

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**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:Deposit Account Number  
Deposit Account Name

19-1038

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments☐ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 790	2001 395	Utility filing fee	
1002 350	2002 175	Design filing fee	
1003 550	2003 275	Plant filing fee	
1004 790	2004 395	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims		-20** =		X		=	
Independent Claims		-3** =		X		=	
Multiple Dependent						=	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1202 18	2202 9	Claims in excess of 20	
1201 88	2201 44	Independent claims in excess of 3	
1203 300	2203 150	Multiple dependent claim, if not paid	
1204 88	2204 44	** Reissue independent claims over original patent	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			(\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 430	2252 215	Extension for reply within second month	
1253 980	2253 490	Extension for reply within third month	
1254 1,530	2254 765	Extension for reply within fourth month	
1255 2,080	2255 1,040	Extension for reply within fifth month	
1401 340	2401 170	Notice of Appeal	
1402 340	2402 170	Filing a brief in support of an appeal	
1403 300	2403 150	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,370	2453 685	Petition to revive - unintentional	
1501 1,370	2501 685	Utility issue fee (or reissue)	
1502 490	2502 245	Design issue fee	
1503 660	2503 330	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180.00
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 790	2809 395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 790	2810 395	For each additional invention to be examined (37 CFR 1.129(b))	
1801 790	2801 395	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$180.00)

**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	David K. Lucente	Registration No. (Attorney/Agent)	36,202	Telephone	720-684-2295
Signature	<i>[Signature]</i>	Date	November 16, 2004		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s):	Yip et al.	Examiner:	Rodriguez, Glenda P.
Serial No.:	09/851,767	Group Art Unit:	2651
Filed:	May 9, 2001	Docket No.:	STL9663
Title:	Pattern-Based Defect Description Method		

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Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Technology Center 2600

## INFORMATION DISCLOSURE STATEMENT

## Section 1. Forms PTO/SB/08A and 08B (substitute for Form PTO-1449)

Form PTO/SB/08A is attached hereto.

## Section 2. Remarks or Additional Statements

- ☐ This Information Disclosure Statement is being filed along with a new patent application.
- ☐ This Information Disclosure Statement is being filed *within* three months of the filing date of the application or date of entry into the national stage of an international application or *before* the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. 1.97(b).
- ☒ 37 C.F.R. §1.97(c) This Information Disclosure Statement is being filed *after* three months of the filing date of this national application or the date of entry of the national Stage as set forth in Section 1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but *before* the mailing date of either:
1. a final action under section 1.113; or
  2. a notice of allowance under section 1.311  
whichever occurs first.
- ☒ A fee under 37 C.F.R. §1.17(p) is required because no certification under 37 C.F.R. §1.97(e) has been made; or
- ☐ No fee is required because certification statement under 37 C.F.R. §1.97(e) is noted below.
- ☐ 37 C.F.R. §1.97(d) This Information Disclosure Statement is being filed *after* a final action under §1.113, or a notice of allowance under §1.113, whichever occurs first, but before, or simultaneously with, the payment of the issue fee.
- ☐ A fee under 37 C.F.R. §1.17(p) is required and either of the statements below (37 C.F.R. §1.97(e)).

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- ☐ 37 C.F.R. §1.97(e) Choose either Statement:
- ☐ Each item of information contained in the IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing; or
- ☐ No item of information contained in the IDS was cited in a communication from a foreign patent office in the counterpart foreign application, and to my knowledge no item of information contained in the IDS was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this IDS.

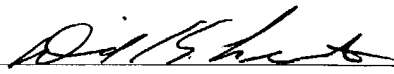
Consideration of the listed items is respectfully requested.

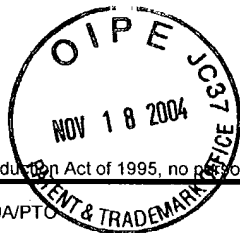
Respectfully submitted,

SEAGATE TECHNOLOGY LLC  
(Assignee of Entire Interest)

Date

11/16/04

  
David K. Lucente, Reg. No. 36,202  
SEAGATE TECHNOLOGY LLC  
Intellectual Property Dept. - COL2LGL  
389 Disc Drive  
Longmont, CO 80503  
(720) 684-2295 (telephone)  
(720) 684-2588 (facsimile)



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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

1

of

1

### Complete if Known

Application Number	09/851,767
Filing Date	05/09/2001
First Named Inventor	Ying EE Yip
Art Unit	2651
Examiner Name	Rodriguez, Sandra
Attorney Docket Number	STL9663

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### U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AA	US- 4,914,530	04/03/1990	Graham et al.	
	AB	US- 5,367,652	11/22/1994	Golden et al.	
	AC	US- 5,541,903	07/30/1996	Funahashi et al.	
	AD	US- 5,798,883	08/25/1998	Kim	
	AE	US- 5,812,755	09/22/1998	Kool et al.	
	AF	US- 5,870,243	02/09/1999	Ukani et al.	
	AG	US- 5,889,631	03/30/1999	Hobson	
	AH	US- 6,223,303 B1	04/24/2001	Billings et al.	
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### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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